

01/18/02

JCS25 S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Approved for use through 10/31/2002, CMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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Attorney Docket No.	CP-1232
First Inventor	LIM, Mu-III
Title	Primary Intermediates for Oxidative Coloration of
Express Mail Label No.	EM239961472US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB117)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 46]  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
- ☐ Oath or Declaration [Total Pages 2]  
  - ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
- ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application Information

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer Number or Attach bar code label here)

or ☒

Correspondence address below

Name	ZELLER, Charles J.				
Address	Clairor Incorporated, Patent Department				
	2 Blachley Road				
City	Stamford	State	Connecticut	Zip Code	06922
Country	US	Telephone	(203)316-2566	Fax	(203) 316-2220

Name (Print/Type)	Charles J. Zeller	Registration No. (Attorney/Agent)	28,682
Signature	<i>Charles J. Zeller</i>	Date	January 18, 2002

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1104.00

## Complete if Known

Application Number	New Appln.
Filing Date	
First Named Inventor	MU-III LIM
Examiner Name	
Group Art Unit	
Attorney Docket No.	CP-1232

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 02-3864

Deposit Account Name: Clairol Incorporated

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

3. ADDITIONAL FEES					Fee Description	Fee Paid
Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee (\$)		
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for ex parte reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	400	216	200		Extension for reply within second month	
117	920	217	460		Extension for reply within third month	
118	1,440	218	720		Extension for reply within fourth month	
128	1,960	228	960		Extension for reply within fifth month	
119	320	219	160		Notice of Appeal	
120	320	220	160		Filing a brief in support of an appeal	
121	280	221	140		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1,280	241	640		Petition to revive - unintentional	
142	1,280	242	640		Utility issue fee (or reissue)	
143	460	243	230		Design issue fee	
144	620	244	310		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Processing fee under 37 CFR 1.17(q)	
126	180	126	180		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370		For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	
Other fee (specify)						
SUBTOTAL (3) (\$)						40.00

## FEE CALCULATION

1. BASIC FILING FEE				Fee Description	Fee Paid
Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)		
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	60	Provisional filing fee	
SUBTOTAL (1) (\$)					740.00

2. EXTRA CLAIM FEES				Fee Description	Fee Paid
Total Claims	Extra Claims	Fee from below	Fee Paid		
24	-20** = 4	18.00	172.00		
6	-3** = 3	84.00	252.00		
SUBTOTAL (2) (\$)					324.00

Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue /independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Charles J. ZELLER	Registration No.	28,682	Complete (if applicable)	Telephone	(203)316-2566
Signature	<i>Charles J. Zeller</i>	Date	January 18, 2002			

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Mu-III LIM  
Yuh-Guo PAN

Filed: January 18, 2002

Group Art Unit: N.A.  
Examiner: N.A.

Title: PRIMARY INTERMEDIATES FOR  
OXIDATIVE COLORATION OF HAIR

January 18, 2002

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No.: **EM239961472US**

Date of Deposit: **January 18, 2002**

I hereby certify that the following attached paper(s) and/or fee(s)

- 1) New Patent Application containing: 37 pages of specification; 8 pages of claims; and 1 page of Abstract;
- 2) Combined Declaration and Power of Attorney (executed)
- 3) Fee Transmittal (in duplicate)
- 4) Patent Application Cover Sheet
- 5) Assignment and Assignment Recordation Sheet
- 6) Express Mail Certificate
- 7) Return Receipt Postcard

are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 C.F.R. §1.10 on the date indicated above and is addressed to:  
Box: Patent Application; Commissioner for Patents, Washington, D. C. 20231.

Joanne T. Rauchfuss

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper(s) or fee)

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2002 JAN 18 PM 4:00